UOB KAY HIAN SECURITIES (M) SDN BHD



(Registration No. 199001003423 (194990-K)) A Participating Organisation of Bursa Malaysia Securities Berhad

A Trading Participant of Bursa Malaysia Derivatives Berhad

A Registered IUTA and IPRA of Federation of Investment Managers Malaysia

Website : www.utrade.com.my

| ΔΡΡΙ | ICATI | ON F | ORM FO | R INDI | VIDIAL. | APPLICANT |
|-------------|-------|------|--------|--------|---------|-----------|
| MIIL | лоли | 0111 | | | IDUAL | ALLENCALL |

| 1 APPLICANT PARTICULARS | | | | | | | |
|--|--|--|--|--|--|--|--|
| Name of Applicant (as per NRIC / Passport) | | | | | | | |
| | | | | | | | |
| Title Gender Male Female Race Date of Birth (dd.mm.yyyy) | | | | | | | |
| New NRIC - - Old NRIC/Authority Card/Passport | | | | | | | |
| New NRIC - - - Old NRIC/Autnonty Card/Passport Correspondence Address as per Registered Address in NRIC(Please tick 🗹) Race - | | | | | | | |
| Correspondence Address if different from Registered Address: | | | | | | | |
| | | | | | | | |
| Postcode | | | | | | | |
| Is the Above Residence Owned Relatives Rented Others | | | | | | | |
| Telephone No. (Home) Country of Phone Malaysia US Others | | | | | | | |
| Mobile No. Country of Phone Malaysia US Others | | | | | | | |
| E-mail Address (Compulsory for New Applicant) | | | | | | | |
| Marital Status Single Married Widowed No. Of dependent(s): | | | | | | | |
| If married, please complete following details of spouse: | | | | | | | |
| Spouse Name | | | | | | | |
| New NRIC - - Old NRIC/Authority Card/Passport | | | | | | | |
| Important Information as Required Under FATCA/ CRS | | | | | | | |
| Country of Birth Malaysia US Others (please specify) | | | | | | | |
| Nationality Malaysian US Others (please specify) | | | | | | | |
| Are you a Malaysian Resident (For Exchange Control ¹) ¹ For declaration as Malaysia resident I solemnly declare that I shall consent to abide with and be bound by the provision of the Exchange Control Act 1953 and Bank Negara Foreign Exchange Administrative Policy and any amendments from time to time with regards to any transaction or payments to or from my relevant trading account(s). Refer to T&C for further details | | | | | | | |
| Are you a foreign tax resident? | | | | | | | |
| If Yes, please specify: Country: Tax Identification No: | | | | | | | |
| If you are a US Tax Resident and/or US Citizen, please provide us a completed Form W-9 If no TIN available, please tick following: Reason A - The country/jurisdiction where the Account Holder is resident does not issue TINs to its residents Reason B - No TIN is required. (Note: Only select this reason if the domestic law of the relevant jurisdiction does not require the collection of the TIN issued by such jurisdiction) Reason C - The Account Holder is otherwise unable to obtain a TIN or equivalent number (Please explain why you are unable to obtain a TIN if you have selected this reason: \Box No tax obligation, therefore country does not issue TIN; \Box Retiree, therefore country does not issue TIN; OR Others: please specify:) | | | | | | | |
| Do you have any standing instruction for funds transfer to a US Account or account maintained in reportable jurisdiction? (For reportable jurisdiction, Refer to IRB Link: <u>http://www.hasil.gov.my/bt_goindex.php?bt_kump=6&bt_skum=2&bt_posi=1&bt_unit=2&bt_sequ=1</u>) Yes No | | | | | | | |
| Do you have any Power of Attorney or Signatory granted to a person in the US or reportable jurisdiction? | | | | | | | |

| 2 DOCUMENTS TO BE SUBMITTED (NON R | ETURNABLE) | | | | | | | | |
|--|---------------------------------|------------------------------------|---|--|--|--|--|--|--|
| A photocopy of NRIC or Passport | Form B / EA Form / Statement | Payslip / Bank | Form W-8 Ben Form W-9 | | | | | | |
| Certified copy(s) of your bank statement / front page of your pass book / details of your bank account obtained from your bank's website / copy of the letter from your bank confirming your bank account Other: | | | | | | | | | |
| 3 SETTLEMENT BANK ACCOUNT PARTICULARS | | | | | | | | | |
| Bank Name: | Account No ⁴ : | | Joint Yes No | | | | | | |
| All payment payable to you shall be electronically crediting to your above bank account. | | | | | | | | | |
| ⁴ <i>Kindly take note that the bank account must be in my name crediting to your above Account No.</i> | e and this bank must be loo | rated in Malaysia offering MEPS IB | G services as all payment payable to you shall be electronicall | | | | | | |
| 4 INVESTMENT EXPERIENCE AND OBJEC | TIVES | | | | | | | | |
| Future Trading Experience | None | < 1 year 1-5 years | > 5 years | | | | | | |
| Investment Objectives | Investment | Speculation | Hedging Arbitraging | | | | | | |
| Risk Tolerance | Aggressive | Moderate | Conservative | | | | | | |
| 5 FINANCIAL BACKGROUND | | | | | | | | | |
| EMPLOYMENT PARTICULARS(For Client with | | | | | | | | | |
| Employment Employed Sel | lf-employed | Housewife Retire | e Student Others | | | | | | |
| Name of Income Provider | | | | | | | | | |
| New NRIC - | - | Old NRIC / Pass | port | | | | | | |
| Name of Business/Employer of Client or Income Pr | ovider | | | | | | | | |
| Office Address of Client on Income Dravider | | | | | | | | | |
| Office Address of Client or Income Provider | | | | | | | | | |
| | | | | | | | | | |
| | | | Postcode | | | | | | |
| Relationship with Income Provider Family M | Members Others, p | lease specify: | | | | | | | |
| Telephone No. (Office) | | Fa | IX No | | | | | | |
| Nature of Business | | | | | | | | | |
| Designation | | Year | r(s) Employment / Business | | | | | | |
| Annual Income Range of Applicant/Income Provide | er (Combination of all Se | ource of Income) | | | | | | | |
| Below ~ RM25,000 RM25,001 ~ RM50,000 RM50,001 ~ RM100,000 RM100,001 ~ RM200,000 | | | | | | | | | |
| RM200,001 ~ RM300,000 RM300,001 ~ RM400,000 RM400,000 Above ~ RM500,000 | | | | | | | | | |
| Source of Income/Wealth: Employment Business Investment Inheritance Others | | | | | | | | | |
| Do you have commitments with any financial institutions? | | | | | | | | | |
| If yes, please state type Overdraft Property Loan Hire Purchase Share Margin Financing Others | | | | | | | | | |
| Total commitments (RM) | | | | | | | | | |
| | | | | | | | | | |

| 6 OTHER PARTICULARS OF APPLICANTS | | | | | | | |
|---|--|--|--|--|--|--|--|
| a. Do you have Domestic Ringgit Borrowing as defined under BNM FEA rules? (For further details, refer https://www.bnm.gov.my/fep for DRM definition under BNMFEA rules) | s) | | | | | | |
| b. Are you related ⁵ to any staff or Director or Dealer's Representatives of UOE Securities (M) Sdn Bhd ("UOBKH")? | 3 Kay Hian Yes, name and relationship No | | | | | | |
| ⁵ related persons means spouse, children, parents, or any accounts where any of the said person(s) has interest and companies in which the staffs, Directors or Dealers' Representative have at least 15% interest | | | | | | | |
| c. Have you ever opened an account with UOBKH? | Yes No (please state account number and reason for closing of account) | | | | | | |
| d. Do you have existing Securities and/or Derivatives Trading Account with UOBKH | Yes, Account No No | | | | | | |
| e. Are you a guarantor for any Trading Account held in UOBKH? | Yes, Account No No | | | | | | |
| f. Details of related persons with Trading Accounts maintained with UOBKH | i) Name: None ii) Relationship: iii) Account No: | | | | | | |
| g. Would you consent and authorise UOBKH to process any information that you has to UOBKH for the purposes of cross selling, marketing and promotions? | ave provided Yes No | | | | | | |
| By choosing yes, you expressly consent and authorize UOBKH to process any information that you have provided to UOBKH for the purposes of cross selling, marketing and promotions including administering offers and competitions, disclosure of information to UOBKH Group, its agent, and/or such persons in accordance with Personal Data Protection Act as UOBKH may deem fit. h. Would you like to appoint and empower your Future Broker Representative (inclusive of Yes No | | | | | | | |
| Associated FBRs) to manage administrative functions in relation to your trading account(s)? Please be aware of the action of choosing a representative would give rise to risks and legal consequences of which you must be prepared to accept. You SHOULD NOT TICK "YES" if you have not been informed of or do not fully understand the consequences. You are advised to obtain competent legal advice on your rights and obligations and clarify any doubts you may have before naming your representative. | | | | | | | |
| | | | | | | | |
| 7 DECLARATIONS AND ACKNOWLEDGEMENT | | | | | | | |
| I hereby confirm that I am fully aware that the full terms and conditions of this Application Form is located at website of UOB Kay Hian Securities (M) Sdn. Bhd. ("UOBKH") (URL:www.utrade.com.my), of which a physical copy has been handed to me and I confirm that I have read each and every DECLARATION, the RISK DISCLOSURE STATEMENTS, the TERMS AND CONDITIONS as well as the UNDERTAKING contained therein, and understand its contents and its implications which have been duly explained to me in detail by the Company. Subject and conditional upon UOBKH approving my Trading Account(s) application, I hereby agree to be bound by them entirely. I am further aware that UOBKH has the sole and absolute discretion to vary, add or remove any of the terms and conditions therein at any time hereafter and it shall be my sole responsibility to keep myself aware of all such changes without the need to be notified and I agree to be bound by all such variations, additions or removal of all such terms and conditions accordingly. | | | | | | | |
| Signed By: | | | | | | | |
| | | | | | | | |
| ×. | ×. | | | | | | |
| Signature of Applicant | Signature of Witness | | | | | | |
| Name: | Name: | | | | | | |
| NRIC No: | NRIC No: | | | | | | |
| Date: | Date: | | | | | | |
| | | | | | | | |

| 8 TO BE COMPLETED BY FUTURES BROKER'S REPRESENTATIVES | | | | | | |
|---|---------------------|-------|-------------|---|--|--|
| I) KNOW YOUR CLIENT POLICY | | | | | | |
| 1. Have you met the Applicant through your personal contact / social networkin | Yes | No | | | | |
| If no, how have you been acquainted with the Applicant? | | | | | | |
| 2. Duration of time you have known the Applicant? | Years | | | | | |
| 3. Have you had any previous dealings with the Applicant? | Yes | No | | | | |
| 4. Does the Applicant have good financial viability and trustworthiness? | Yes | No | | | | |
| 5. Have you sighted the original NRIC / Passport with the photocopied doo (Individual only)? | Yes | No No | | | | |
| 6. Is the Applicant actively involved in any political activities or politically link | ed? | Yes | No | | | |
| Remarks : | | | | | | |
| Remarks : | | | | | | |
| | | | | | | |
| 9 DECLARATION BY FUTURES BROKER'S REPRESENTATIVE | | | | | | |
| Having assessed the Applicant's financial position, experience in trading and investment objectives, I hereby request that the Applicant be allowed to open and operate the trading account with the Company and allow me to act as the Future Broker's Representatives for the said applicant in accordance with the terms and conditions stated herein. I hereby confirm that : a) I have explained to the Applicant and the Applicant has understood the terms and conditions herein, the contents of the Authorisation and Undertaking for Multicurrency Settlement, Risk Disclosure Statement, and the risks and obligations associated with the trading in derivative including foreign derivative trading and the usage of the Company's electronic services (where applicable);and b) to the best of my knowledge and belief, all information given by the Applicant is true and correct and he has not withheld any material facts. I shall keep you fully indemnified against any losses, damages, debts, interest/late payment charges and all other costs and expenses incurred and suffered by you in relation to the trading account of this Applicant. | | | | | | |
| | | | | | | |
| FOR OFFICE USE ONLY | | | | | | |
| AML/ Credit Screening | | | | | | |
| AML - Experian AML- World Check One | Client Code : | | | | | |
| | - | | | | | |
| Credit- Experian | FBR Code : | | | | | |
| Checked By : Date : | Online Trading Faci | lity | | | | |
| Checked by . Date . | Client Code : | - | | | | |
| Processed By : Date : | User ID : | | | | | |
| Verified By . Date . | FBR Code : | | Branch Code | : | | |

:

Date

Processed By

Remarks :

:

Verified By

Risk Profiling

Credit Risk Profile

AML Risk Profile

Account Approved By

Date

:

Approved Lot Limit (Local Market)

Approved Lot Limit (Foreign Market)

Date

Medium

High

Low

:

:

:

: